IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: BETHANY K. HOOGS, ET AL   :   Group Art Unit:

Serial No.:   :   Examiner:

Filed: :

For METHOD, SYSTEM AND COMPUTER   :
     PRODUCT FOR ANALYZING BUSINESS RISK
     USING EVENT INFORMATION EXTRACTED
     FROM NATURAL LANGUAGE SOURCES

INFORMATION DISCLOSURE STATEMENT

☒ 1 **Pursuant to 37CFR 1.97(b)**
      [within 3 months of national, non-CPA filing or prior to 1st Office Action] *no charge*

☐ 2 **Certification Pursuant to 37 CFR 1.97(c)(1)**
      [before Final Office Action, Allowance, or other action closing prosecution] *no charge*

☐ 3 **Fee Payment Pursuant to 37 CFR 1.97(c)(2)**
      [before Final Office Action, Allowance, or other action closing prosecution] *$180.00*

☐ 4 **Certification & Fee Payment Pursuant to 37 CFR 1.97(d)**
      [On or before issue fee payment] *$180.00*

ATTN: MAILSTOP PATENT APPLICATION
US PATENT & TRADEMARK OFFICE
2011 S. CLARK PLACE
CRYSTAL PLAZA II, LBY RM 1B03
ARLINGTON, VA 22202-0001

Sir:

The following are submitted in the above application in compliance with 37 CFR 1.97 and 37 CFR 1.98:

☒ 5 A list of documents on form PTO-1449 or Substitute together with copies of each
      identified document and a translation thereof or a concise explanation of each
      non-English language document or a Search Report from an International
      Searching Authority for a patent application filed via the Patent Cooperation
      Treaty or document(s) cited in the application or the priority application.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on the date indicated below.
Date of Deposit
Type or Print Name
Signature

This paper is submitted in accordance with:

☒ 6 37 CFR 1.97(b): [within 3 months of national, non-CPA filing or prior to 1st Office Action]

☐ 7 37 CFR 1.97(c): [before Final Office Action, Allowance, or other action closing prosecution, whichever is earlier]; and

    ☐ 8 The required Certification made in item 11 below;

    ☐ 9 or The $180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 15 below.

☐ 10 37 CFR 1.97(d): [on or before issue fee payment]; and

    a) The required Certification is stated in item 11 below; and

    b) The $180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 14 below.

☐ 11 Certification

    ☐ 12 Each item of information contained in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of this Statement; or

    ☐ 13 No item contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this document after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated in 37 CFR 1.56(c) more than three (3) months prior to the filing date of this Statement.

☒ 14 Payment of all applicable fees:

    ☒ 15 Please charge all applicable fees associated with the submittal of this Information Disclosure Statement to Deposit Account No. 07-0868
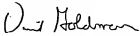
An original and two (2) copies of this document are enclosed.

Respectfully submitted,

9/29/03
_____
Date

_____
Attorney - DAVID C. GOLDMAN
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CRD Patent Docket Rm 4A59
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FORM PTO-1449 (REV. 7-80)			US. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. 131013		SERIAL NO.
				Applicant		
INFORMATION DISCLOSURE STATEMENT BY APPLICANT LIST OF ITEMS				BETHANY K. HOOGS, ET AL		
				Filing Date		Group

		U.S. PATENT DOCUMENTS				
*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA					
	AB					
	AC					

OTHER INFORMATION (Including Author, Title, Date, Pertinent Pages, etc.)

	BA	AONE, CHINATSU, ET AL., "REES: A LARGE-SCALE RELATION AND EVENT EXTRACTION SYSTEM" SRA INTERNATIONAL, INC, PP. 76-83.
	BB	CIRAVENGA, FABIO, ET AL. "FLEXIBLE TEXT CLASSIFICATION FOR FINANCIAL APPLICATIONS: THE FACILE SYSTEM." PROCEEDINGS OF THE 14TH EUROPEAN CONFERENCE ON ARTIFICIAL INTELLIGENCE, IOS PRESS, AMSTERDAM, AUGUST 2000, 5 PAGES.
	BC	CONSTANTINO, MARCO. " FINANCIAL INFORMATION EXTRACTION USING PRE-DEFINED AND USER-DEFINABLE TEMPLATES IN THE LOLITA SYSTEM", DURHAM, ENGLAND: UNIVERSITY OF DURHAM, 1997.
	BD	FREITAG, DAYNE, "TOWARD GENERAL PURPOSE LEARNING FOR INFORMATION EXTRACTION", CARNEGIE MELLON UNIVERSITY, PITTSBURGH, PA, JAN., 1998, PP. 404-408.
	BE	GRISHMAN, RALPH, ET AL, "ISSUES IN CORPUS-TRAINED INFORMATION EXTRACTION", NY UNIVERSITY, NY, NY, 2000, 6 PAGES.
	BF	SCHRODT, PHILLIP A., "AUTOMATED CODING OF INTERNATIONAL EVENT DATA USING SPARSE PARSING TECHNIQUES", UNIVERSITY OF KANSAS, 2001, PP. 1-36.
	BG	YANGARBER, ROMAN, ET AL, "AUTOMATIC ACQUISITION OF DOMAIN KNOWLEDGE FOR INFORMATION EXTRACTION." PROCEEDINGS OF THE 18TH INTERNATIONAL CONFERENCE ON COMPUTATIONAL LINGUISTICS, 2000, 7 PAGES.
	BH	GAIZAUSKAS, ROBERT, ET AL, "QUANTATIVE EVALUATION OF COREFERENCE ALGORITHMS IN AN INFORMATION EXTRACTION SYSTEM." CORPUS-BASED AND COMPUTATIONAL APPROACHES TO DISCOURSE ANAPHORA. EDS. S. BOTLEY AND T. MCENERY. AMSTERDAM: JOHN BENJAMINS, 2000, PP. 1-15.
	BI	YANGARBER, ROMAN, ET AL., "EXTRACTION PATTERN DISCOVERY THROUGH CORPUS ANALYSIS." NEW YORK CITY: NYU, 2000, 8 PAGES.

EXAMINER		DATE CONSIDERED	

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.